

**FAX TRANSMISSION****DATE:** September 13, 2005**PTO IDENTIFIER:** Application Number 10/528875  
Patent Number**Inventor:** Halliday et al.**MESSAGE TO:** PCT Legal Office**FAX NUMBER:** (571) 273-0459**FROM:** ROPES & GRAY LLP  
David P. Halstead, Ph.D.**PHONE:** (617) 951-7615**Attorney Dkt. #:** CKFW-P01-012**RECEIVED**

13 SEP 2005

Legal Staff  
International Division**PAGES (Including Cover Sheet):** 10**CONTENTS:**Request for Corrected Filing Receipt (1 page)  
Copy of Incorrect Filing with Changes Noted Thereon (3 pages)  
Copy of Executed Declaration for Patent Application (5 pages)  
This Facsimile Cover Sheet (1 page)

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**ROPES & GRAY LLP**One International Place, Boston, Massachusetts 02110-2624  
Telephone: (617) 951-7000 Facsimile: (617) 951-7050

I hereby certify that this correspondence is being facsimile transmitted to the Patent and Trademark Office, PCT Legal Office, facsimile no. (571) 273-0459, on the date shown below.

Dated: September 13, 2005

Signature: 

(Mary Jane D. Palma)

Docket No.: CKFW-P01-012  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Halliday et al.

Application No.: 10/528875

Confirmation No.: 8764

Filed: March 23, 2005

Art Unit: 1712

For: WATER-SWELLABLE POLYMERS

Examiner: Not Yet Assigned

**REQUEST FOR CORRECTED FILING RECEIPT**

Office of Initial Patent Examination  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicants hereby request that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicant, a copy of which is attached hereto, has the following error:

**In the Applicant(s) section**

After "Frank Koppenhagen, Belmont, CA;" please add the following applicants:

--Lilias Currie, Blantyre, GBN, United Kingdom;

Sarah Stewart, Aberdeen, GBN, United Kingdom.--

Attached herewith is a copy of the executed Declaration for Patent Application that was filed with the application on March 23, 2005 to show the correct Applicants. Applicants additionally requests that all pertinent U.S. Patent and Trademark Office records relating to the subject application be changed to reflect this correction.

Applicants believe no fee is due with this request. However, if a fee is due, please charge our Deposit Account No. 18-1945, under Order No. CKFW-P01-012 from which the undersigned is authorized to draw.

Dated: September 13, 2005

Respectfully submitted,

By 

David P. Halstead, Ph.D.

Registration No.: 44,735

ROPES & GRAY LLP

One International Place

Boston, Massachusetts 02110-2624

(617) 951-7000

(617) 951-7050 (Fax)

Attorneys/Agents For Applicant



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/528,875	03/23/2005	1712	900	CKFW-P01-012	8	20	2

28120  
FISH & NEAVE IP GROUP  
ROPES & GRAY LLP  
ONE INTERNATIONAL PLACE  
BOSTON, MA 02110-2624

Ropes &amp; Gray

SEP 06 2005

Intellectual Property Dept.

CONFIRMATION NO. 8764  
FILING RECEIPT  
\*OC000000016776136\*  
\*OC000000016776136\*

Date Mailed: 08/26/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Janet A. Halliday, West Lothian, GBN, UNITED KINGDOM;  
Jukka Tuominen, Glasgow, GBN, UNITED KINGDOM;  
Mark Livingstone, Irvine, GBN, UNITED KINGDOM;  
Frank Koppenhagen, Belmont, CA;  
*Lillias Currie, Blantyre, GBN, United Kingdom;*  
*Sarah Stewart, Aberdeen, GBN, United Kingdom;*

Power of Attorney: The patent practitioners associated with Customer Number 28120.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/GB03/04208 09/26/2003

## Foreign Applications

UNITED KINGDOM 0222522.5 09/27/2002

Projected Publication Date: To Be Determined - pending completion of Security Review

Non-Publication Request: No

Early Publication Request: No

Title

Ropes &amp; Gray

Symbol #: CKFW-P01-012

Action Due: Review Filing Receipt

Deadline(s): 26 Sep 2005

Water-swellaable polymers

Preliminary Class

528

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

WATER-SWELLABLE POLYMERS

the specification of which was filed on September 26, 2003 as Application No. PCT/GB2003/004208.

In the event that the filing date and/or Application No. are not entered above at the time I execute this document, and if such information is deemed necessary, I hereby authorize and request my attorneys/agent(s) at Ropes & Gray LLP, One International Place, Boston, Massachusetts 02110-2624, to insert above the filing date and/or Application No. of said application.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to herein.

I acknowledge the duty to disclose all information known to me that is material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56.

FOREIGN PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

- ☐ no such foreign applications have been filed
- ☒ such foreign application have been filed as follows:

Attorney Docket No.: CKFW-P01-012

**EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS  
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**

Application Number	Country	Date of Filing	Priority Claimed Under 35 USC 119
0222522.5	GB	September 27, 2002	<u>  x  </u> Yes No <u>      </u>
			<u>      </u> Yes No <u>      </u>
			<u>      </u> Yes No <u>      </u>

**ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS  
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**

Application Number	Country	Date of Filing

**CLAIM FOR BENEFIT OF EARLIER U.S. PROVISIONAL APPLICATIONS**

I hereby claim priority benefits under Title 35, United States Code §119(e), of any United States provisional patent application(s) listed below:

☒ no such U.S. provisional applications have been filed.

☐ Such U.S. provisional application have been filed as follows:

Application Number	Date of Filing	Priority Claimed Under 35 USC 119
		<u>      </u> Yes No <u>      </u>
		<u>      </u> Yes No <u>      </u>
		<u>      </u> Yes No <u>      </u>

**CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S)**

I hereby claim the benefit under Title 35, United States Code, §120 of the United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose all information that is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56 which became available to me between the filing date of the prior application and the national or PCT international filing date of this application:

Attorney Docket No.: CKFW-P01-012

☒ no such U.S./PCT applications have been filed.☐ such U.S./PCT application have been filed as follows:

Application Number	Relationship	Parent Application	Date of Filing

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint:

All practitioners at Customer Number 28120

all of **Ropes & Gray LLP**, One International Place, Boston, Massachusetts 02110-2624, jointly, and each of them severally, my attorneys at law/patent agent(s), with full power of substitution, delegation and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, and to transact all business in the U. S. Patent and Trademark Office connected therewith.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from Controlled Therapeutics (Scotland) Limited as to any action to be taken in the United States Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

Please mail all correspondence to Matthew P. Vincent, whose address is:

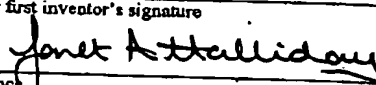
**Ropes & Gray LLP**  
One International Place  
Boston, Massachusetts 02110-2624

Please direct telephone calls to: Matthew P. Vincent at (617) 951-7739.


Please direct facsimiles to: (617) 951-7050




Attorney Docket No.: CKFW-P01-012

Full name of sole or first inventor <b>Janet A. Halliday</b>	
Sole or first inventor's signature 	Date <b>15 February 2005</b>
Residence <b>West Lothian, United Kingdom</b>	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>5 Dundas Street Bo'Ness WEST LOTHIAN EH52 0DF, UNITED KINGDOM</b>	

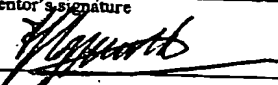
  

Full name of second inventor, if any <b>Jukka Tuominen</b>	
Second inventor's signature 	Date <b>15 February 2005</b>
Residence <b>Glasgow, United Kingdom</b>	
Citizenship <b>Finland</b>	
Mailing Address <b>18 Westfarm Crescent Westgait Cambuslang Glasgow G72 7SQ, United Kingdom</b>	

Full name of third inventor, if any <b>Mark Livingstone</b>	
Third inventor's signature 	Date <b>16 February 2005</b>
Residence <b>Irvine, United Kingdom</b>	
Citizenship <b>United Kingdom</b>	
Mailing Address <b>7 Chestnut Gardens Stanecastle IRVINE KA11 1RW, UNITED KINGDOM</b>	

Full name of fourth inventor, if any <b>Frank Koppenhagen</b>	
Fourth inventor's signature 	Date <b>18 February 2005</b>
Residence <b>California, U.S.A.</b>	
Citizenship <b>Netherlands</b>	
Mailing Address <b>1624 Molitor Road Belmont CA 94002 U.S.A.</b>	

Attorney Docket No.: CKFW-P01-012

Full name of fifth inventor, if any Lilias Currie	
Fifth inventor's signature <i>Lilias Currie</i>	Date 15 Feb 2005
Residence Blantyre, United Kingdom	
Citizenship United Kingdom	
Mailing Address 149 Auchinraith Road BLANTYRE G72 0XU UNITED KINGDOM	

Full name of sixth inventor, if any Sarah Stewart	
Sixth inventor's signature <i>S. Stewart</i>	Date 2 Mar 2005
Residence Aberdeen, United Kingdom	
Citizenship United Kingdom	
Mailing Address 9 St Johns Terrace Mannofield ABERDEEN AB15 7PH; UNITED KINGDOM	

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\*\*\* ACTIVITY REPORT \*\*\*

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ST. TIME	DESTINATION TEL/ID	NO.	MODE	PGS.	RESULT
09/07 10:30	973 315 4510	9040	AUTO RX ECM	2	OK 00'25
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09/07 14:58	918779994200	1261	TRANSMIT ECM	2	OK 00'26
09/07 19:03	918779994200	1262	TRANSMIT ECM	2	OK 00'22
09/07 19:09		9043	AUTO RX ECM	8	OK 01'09
09/08 10:28	412 777 3912	9044	AUTO RX ECM	7	OK 01'15
09/08 11:56		9045	AUTO RX ECM	1	OK 00'20
09/08 11:58		9046	AUTO RX ECM	2	OK 00'34
09/08 12:12	312 616 5700	9047	AUTO RX ECM	3	OK 00'34
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09/08 16:38	617 951 7050	9049	AUTO RX ECM	8	OK 01'19
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09/08 18:57		9051	AUTO RX ECM	11	OK 02'57
09/09 08:20	973 315 4510	9052	AUTO RX ECM	2	OK 00'27
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09/09 14:38	5123457904	9061	AUTO RX ECM	9	OK 03'36
09/09 14:49	703 308 4221	9062	AUTO RX ECM	2	OK 00'50
09/09 15:11	16317577575	9063	AUTO RX ECM	32	OK 02'49
09/09 15:25	908 526 6977	9064	AUTO RX ECM	31	OK 04'02
09/12 10:57	502 267 3128	9065	AUTO RX ECM	2	OK 00'40
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				2	#0793
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09/12 16:24	617 951 7050	9069	AUTO RX ECM	10	OK 01'27
09/12 17:50	8053730051	9070	AUTO RX ECM	16	OK 02'02
09/13 10:26	912486410270	1264	TRANSMIT ECM	2	OK 00'22
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09/13 12:00		9073	AUTO RX ECM	9	OK 01'19
09/13 13:40	617 951 7050	9074	AUTO RX ECM	10	OK 01'48

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\*\*\* RX REPORT \*\*\*  
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RECEPTION OK

TX/RX NO	9074
RECIPIENT ADDRESS	617 951 7050
DESTINATION ID	
ST. TIME	09/13 13:40
TIME USE	01'48
PGS.	10
RESULT	OK